People’s Committee of
Thua Thien Hue Province

Detailed Project Outline

Sub-national Capacity Strengthening for Monitoring Socio-Economic Development Plan Implementation (SCSM)

**Governing Agency:** People’s Committee of Thua Thien Hue Province

**Donors:** United Nations Development Programme (UNDP) and SNV

**Implementing Agency:** Department of Planning and Investment (DPI)
Address: Ton Duc Thang Road, Hue City
Telephone: 054.821723/811949        Fax:045.821264
Email: tonghopdpitth@yahoo.com

**Collaborating Agencies:** Provincial People’s Committee, Provincial People’s Council, DPI, Provincial Statistics Office, DOF, related organisations/agencies at provincial, district and commune levels; social/mass organisations, local research and training institutions.

**Duration:** 1st October 2007 – 31st December 2008

**Total Budget:** US$ 210.000
- grant: US$190.000USD (UNDP and SNV)
- government contributions: US$20.000 (7-10 staff, facilities and equipment etc.)

**Project site:** Thua Thien Hue Province and A Luoi and Nam Dong Districts
Acronyms

AA1  Global UNDP-SNV Activity Agreement 1
AA4  Global UNDP-SNV Activity Agreement 4
ADB  Asia Development Bank
CEP  Country Engagement Plan
CPRGS Comprehensive Poverty Reduction and Growth Strategy
CSOs Civil Society Organisations
DCI  Development Co-operation Ireland
DFID Department for International Development
DOF  Department of Finance
DPI  Department of Planning and Investment
FINIDA Finish International Development Agency
GoVN Government of Vietnam
GSO  General Statistics Office
MDGs Millennium Development Goals
M&E Monitoring and Evaluation
MPI Ministry of Planning and Investment
NGOs Non-Governmental Organisations
ODA Official Development Assistance
PPC  Provincial People’s Committee
PRSP Poverty Reduction Strategy Paper
RNE  Royal Netherlands Embassy
SED  Socio-Economic Development
SEDPs Socio-Economic Development Plans
SLGP Strengthening Local Government Project
SNV  Netherlands Development Organisation
UNDP United Nations Development Programme
TTH  Thua Thien Hue Province
VDGs Vietnam Development Goals
WB  World Bank
I. Rationale

1. Context

The Government of Vietnam (GoVN) has shown the strong commitment to the implementation of the Millennium Declaration and MDGs. A set of development goals called Vietnam Development Goals (VDGs), most which are localized MDGs, has been developed and included in the Comprehensive Poverty Reduction and Growth Strategy (CPRGS) – the Viet Nam’s version of PRSP. Furthermore, MDGs and VDGs have been fully integrated into the current national Five Year (2006-2010) Socio-Economic Development (SED) Plan, which is considered widely as the national plan for achieving MDGs. There have been also initiatives in linking budgeting to planning, developing pro-poor budget allocation criteria and preparing development results/MDGs-VDGs based SEDPs at provincial and sub-provincial levels.

SEDPs play a key role in the development process of Vietnam. Every year (during the period of June-August), each province in Vietnam prepare their own annual SED plan and budget based on their current Five Year SED plan and budget for the next year. The Provincial People’s Committee (PPC) and particularly two of its departments – Department of Planning and Investment (DPI) and Department of Finance (DOF), are in charge of coordinating preparation and implementation (and, to a large extent, M&E) of such plans and budgets, subject for local consultation and approval by the Provincial People’s Council (usually at the end of August). TTH province (and districts) have approved 5-year SEDPs and prepare annual SEDPs.

Funds for provincial SEDPs come from three main sources – central government budget allocation (accounts for about 40% of total provincial budget), local revenues (shared taxes, fees, charges, private investments, ODA projects etc.) and borrowing (for investment purposes only). The funds allocated by the central government are based on consolidated requests from provinces, line ministries and branches. They are subjected to prior approval by the National Assembly and then transferred to provinces in December. Similar process of fund allocation then takes place at the provincial level (in January). Other resources come in on an irregular basis and based on actual need and availability of funds. The plans are being implemented from January to December. M&E: the Provincial People’s Council convenes two hearing sessions a year (in June and December) to hear and assess bi-annual SED progress and financial reports prepared by the PPC, and to decide on necessary changes/adjustments of their SED plans and budgets. Sources on local SED information come mainly from local Statistical Office and from various local government departments.

Along with the preparing development results-based SEDPs, the GoVN also undertakes a number of initiatives in monitoring the progress in implementing SEDPs and towards achieving the MDGs/VDGs. The first national MDG Report, prepared in 2005 by the GoVN, showed the past achievements, suggested clearly the areas for further improvements and helped setting priorities in the 2006-2010 SEDP. The SEDP M&E framework and Guidelines are being developed by Ministry of Planning and Investment (MPI) to define the M&E work concerning the implementation of SEDP at the national level. The Guidelines will also provide a guiding framework and recommendations for provincial level in result-based planning and monitoring as well as call for provinces to develop and implement their own SEDP M&E frameworks and guidelines.

Provincial authorities need to customise this framework to monitor SEDP results at the sub-national level. Capacity building of the sub-national authorities and other stakeholders for the planning and monitoring of the SEDP results therefore forms an important strategy for the localization and achievement of MDGs in Vietnam. This would be a big step forward as the current SEDP M&E practices at the sub-national level in Vietnam rely mainly on bi-annual progress reports prepared by PPCs to the People’s Councils. The introduction of new/improved M&E tools and techniques, together with the involvement of new actors (businesses and CSOs) is expected to bring about positive changes in this field.

2. Strategic and Operational Linkages and Project Activities

In line with the AA4 MDG Support principles, the proposed CEP will provide services adapted to the context of Viet Nam’s efforts in achieving MDGs through developing, implementing and monitoring nationally owned SEDPs. The proposed CEP’s services will focus on strengthening capacity for development result-based, participatory and gender sensitive monitoring and evaluation of annual and 5-year SEDP implementation at sub-national levels in Thua Thien Hue’s province.
The potential partners of the CEP are:

- At sub-national level: Thua Thien Hue’s provincial and sub-provincial People’s Committees/People’s Councils/DPI/Statistical Office/DOF, mass/civil organizations/local NGOs, local research institutes/universities.
- At National level (for coordination, technical inputs, learning and possible replication): GSO, MPI, relevant research institutions, civil society and donors such as FINIDA, WB, ADB, DFID, RNE.

To ensure the national ownership, the engagement plan implementation will be managed by the Thua Thien Hue People’s Committee and Department of Planning and Investment, which are the lead in development, implementing and monitoring of the implementation of the Thua Thien Hue’s SEDP.

The CEP’s capacity strengthening and technical assistance services will be provided to (i) the local People’s Councils, mass/civil organizations which have crucial roles to play in monitoring and oversight of the SEDP implementation and achievement of the results/localized MDGs; and (ii) local planning and finance departments, local statistical offices and other local government technical agencies at different levels that have key roles in developing, implementing and monitoring provincial and sub-provincial SEDPs. The CEP implementation will also involve such stakeholders in the process of drafting and piloting the M&E guidelines to ensure that the local SEDP M&E system would be development result-based, participatory, gender sensitive and socially inclusive.

UNDP and SNV will be providing technical assistance, quality assurance and support to ensure that the implementation of the CEP will be effective and fully coordinated with other relevant efforts such as under UNDP-SNV AA1, SLGP, SNV-Thai Nguyen, SEDP M&E Framework at national level and in other locations in Viet Nam. The coordination is highly feasible as both UNDP and SNV are currently supporting the Government of Vietnam in implementation of the above-mentioned projects. In addition, the focal point persons of this CEP from UNDP and SNV are in charge of AA1, SLGP and SNV-Thai Nguyen projects respectively. It is quite certain that the CEP will benefit from the experience and knowledge produced by the above-mentioned efforts which are on-going. For example: the improvements of SEDP processes in terms of broad-based consultation and participation of stakeholders, the new approach to SED M&E etc...

Based on the principles of Hanoi Core Statements on aid harmonization, SNV and UNDP are working closely with other like minded development organizations (including the Royal Netherlands Embassy) in Hanoi with common interests on improving state society relations and building sub-national capacity for improving accountability and transparency through the active engagement of the elected bodies and Vietnamese civil society.

The proposed CEP will be build around this interest of SNV, and UNDP efforts and support a capacity building process that is inclusive and sustainable in the long term. As such, local authorities will be the lead to ensure that UNDP and SNV will contribute the financial resources and technical assistance to the local authorities in the execution of these activities.

As the proposed CEP is a new initiative of this kind in Thua Thien Hue province, there do not seem existing obvious potential areas of overlap. The proposed CEP’s focus on support strengthening capacity for SEDP monitoring would be seen as the logical continuation and complementary to the on-going AA1 (support integration of MDGs into local SEDPs) in Thua Thien Hue province. In the same way, the CEP may also well be complementary to the FINIDA’s project to support rural development and public administration reform in Thua Thien Hue province. The synergy of the proposed CEP and other related efforts at the national level and in other provinces (such as UNDP-DFID-DCI supported project “support strengthening capacity of local government” (SLGP) in 4 other provinces, UNDP-DFID supported project “Support SED M&E” at national level, SNV-supported local governance strengthening programme in Thai Nguyen, Quang Tri and the North West provinces and WB and other donor-supported work on planning reform/local planning) could be achieved through (i) well established links/mechanisms for sharing information, experiences and lessons learned as well as for coordination (some of such mechanisms are being developed under the SLGP project); and (ii) UNDP and SNV’s active roles/hands-on support in coordination.
II. Project Overview

1. Overall Objective of the Project

**Objective:** capacity at sub-national levels in Thua Thien Hue Province strengthened for the development, piloting and adaptation of a suitable system for development result-based, participatory and gender sensitive monitoring annual and 5-year SEDP implementation.

The objective and proposed CEP’s technical assistance and capacity strengthening services are adapted to the context of Viet Nam’s efforts in achieving MDGs through developing, implementing and monitoring nationally owned SEDPs. Namely, the proposed CEP’s services and activities will primarily aim at capacity building support to participatory mechanisms for monitoring of MDG-based development plans at provincial and sub-provincial levels in Thua Thien Hue province.

The capacity development support will be focused on providing, ideally through national/local capacity building organizations (but in case of need also individual national or international consultants), need-based services of technical expertise, training, research and analysis, facilitated debates and discussions, etc. for local government agencies/technical institutions, CSOs and private sectors. Services and involvement of CSOs as local facilitators will be sought to ensure the process of development of M&E guidelines would be socially inclusive, providing better opportunity for the local people to be involved on SEDP budget planning and monitoring as the true owners of basic services which are their prime concerns in the SEDP. This in turn would contribute to a better resource allocation and sustainability of basic services provision to the general population and to a better enabling environment for private sector investment and CSO involvement in the SED of the province.

1. Description of project activities

*Sub-Component 1*

**Needs assessment, data stocktaking, setting baselines and indicators:** In designing and developing capacity for effective use of local monitoring guidelines, it is critical to understand "what is being monitored”. The SEDP insofar as it is a strategic plan that is intended to guide *inter alia*, budgetary allocations must therefore bear a degree of consistency with annual and medium-term budgets of the Province. It will be important to establish therefore, as to what needs to be monitored; what exists in terms of data availability and quality (including frequency, disaggregation, timeliness, etc.); how these can be comprehensively analyzed; which data sources to follow; what indicators to set for monitoring SEDP progress including toward achieving localized MDGs, in the areas of governance, gender equity and ethnic minority development, and budget monitoring.

*Sub-Component 2*

**Institutional capacity and gaps assessment and mapping of best practices:** What capacity is required? Who is responsible for what in the M&E of SEDP at the province level? M&E is a complex process that involves (i) the collocation of data from different sources, (ii) synthesis and analysis of data and generation of information, (iii) dissemination of information to the decision makers and the data providers and, (iv) use of information in decisions making: planning and monitoring. This entire process of M&E involves different agencies/departments (including community organizations, MOs, CSOs and government authorities) at different (provincial, district, communes) level. Therefore, a functioning M&E system requires the analysis of the whole information chain in one hand and a workable institutional set up on the other. A capacity assessment at the sub national level for the tasks described above is important to design an M&E system for the SEDP.

This sub-component will involve a functional assessment of agency responsibilities and capacities i.e. who does what and who has what capacity for doing what they are meant to do. Based on this, dialogue and discussions will be facilitated as to agency roles, sources of data, adequacy/consistency of available data and identify data gaps and how these may be fulfilled. These will be done in the context of the macro policy frameworks, mainly the Law on Organization of Councils and Committee, decentralization and the MPI guidelines on SEDP M&E. This will also clarify institutional arrangements, functions and roles of different stakeholders in local SEDP M&E,
assessing their baseline capacity, and ensuring that capacity assets are leveraged and gaps met in these key organizations. Also the role and capacity of the Vietnamese CSOs in the M&E process will be assessed and clarified.

It is important to complete above mentioned two components before monitoring guidelines are developed.

The expected timeline of first two sub-components is 6 months.

**Sub-component 3**

**Drafting, field testing and finalization of the guidelines:** This component forms the bulk part of the CEP and broadly involves following two elements.

**3.1 Drafting of preliminary guidelines:** On completion of sub-component 1 and 2, project will convene a core task force (CTF) consisting of DPI, People’s Council, DOF, and DSO that in close consultations with other technical departments and mass/civil organisations to draft a preliminary set of monitoring guidelines for the Province. The guidelines should be addressing the issues identified in the components 1 and 2 above. It will be important to ensure that DPI/DSO/PPC assume the lead in the drafting of a preliminary set of guidelines.

The expected timeline of this activity is 2-3 months.

**3.2 Piloting, field testing, validating at Provinicial/District/Commune levels and producing finalized guidelines:**

This component will focus on using (the information generated from) the draft M&E guidelines (prepared under component 3.1) for the planning and implementation of the SEDP. Developing capacity of PPC/DPI to read and analyse the data/involve other stakeholders in the analysis process as well as to present/report monitoring results and ‘policy options’ (in easy-to-understand, non-technical languages formats and language) to People’s Councils, mass/civil organizations and other stakeholders are the implicit objectives of this component. By definition, a small sample size will need to be chosen for this activity.

Another objective of this activity will be to help local authorities to pilot how such collection and analysis of data helps them (including Provincial Statistical Office), elected bodies and mass/civil organizations in TTH to discuss and decide on resource allocation, implementation, and monitoring of the SEDP. This process will inform the complications in the use of draft guidelines and provide inputs to the local authorities on the areas where revision and further implication is required in the draft guidelines and ultimately to the finalisation of the guidelines through a process of consultation and peer review.

This component also includes the facilitation of key trainings/workshops and other capacity building activities to respond to the capacity gaps identified in the sub-component 2 above.

The expected timeline for this sub-component is one year.

**Sub-component 4**

**Learning and replication:** The above entire process of guidelines development and the contents of the draft guidelines as well as the results of assessments and experiences/lessons learned from the process will be useful experiences for other provinces in learning. This component will provide opportunities for horizontal sharing with other provinces and vertically with national authorities. At the same time TTH will benefit from the experiences of other provinces/donors in the process of elaborating the guidelines. Consultations will be held (and exposure visits if necessary) to establish and share the results with other Provinces where SNV projects or SLGP projects are currently in operation. This component will provide opportunity to the TT Hue to learn from other provinces and to disseminate their lessons to the others. Activities could be to invite authorities from other SLGP provinces as well as from SNV-supported provinces (Thai Nguyen, Quang Tri, North-west provinces).
The expected timeline for this sub-component is throughout the lifetime of the CEP implementation and 3 months after the finalization and adoption of the local SEDP M&E Guidelines by Thua Thien Hue province.

**UNDP and SNV’s Advisory Roles:**

Given the innovative nature of the assignment, and in line with UNDP and SNV’s strategic interest of building the local capacity for sustainability, UNDP and SNV will jointly support PPC/DPI to identify and make maximal use of potential national and/or local capacity building organizations, and individual consultants that are committed to develop their competence in this area to work as local capacity builders for TTH when local organisations are not available. In addition, UNDP and SNV will assist TTH in getting short-term international experts for providing necessary/demand-driven additional technical assistance (that local capacity builders may not possess) to TTH as well as developing competence of identified local capacity builders through working closely with/transferring advanced techniques, methodologies and skills to them. SNV will also provide additional advisory services to work closely with these capacity builders in the entire process of elaborating the M&E guidelines and to make sure that the guidelines are consistent with the national framework of monitoring guidelines currently under development by the MPI with the support of World Bank and other like minded donors. In addition, UNDP and SNV provide following advisory services:

- SNV Advisor facilitates the entire consultation process at the local level and provides technical backstopping to the PPC/DPI in the organization of project related activities (around 40 DADs).
- UNDP will work closely with SNV on the local consultation process and provide advisory services if necessary.
- UNDP and SNV will discuss with the GoVN/MPI and other donors on the possibility of scaling to the national level.
- UNDP and SNV will bring the global and national good practice examples for sharing with the local authorities to help them understand the entire M&E process within the framework of the primary sourcebook “National SEDP M&E Guidelines”.
- UNDP and SNV share the process with other SLGP and SNV provinces and provide technical assistance to facilitate mutually learning activities/events and national level workshops.

**III. Indicative Budget Components**

a. National and international consultants (mainly national): 60%
b. Equipment 3%
c. Training/workshops/exchange visits... 20%
d. Management support 8.5%
e. Others 8.5%

**Risk analysis:** There are a number of risk factors bearing on the realization of the engagement plan that should be made explicit. Many of these risks stem from the nature of the engagement with its emphasis on monitoring and evaluation and related coordination/involvement of multiple actors at national and sub-national levels. Table below notes the risks, assesses their likelihood of occurrence and discusses issues and options.

**IV. Strategy**

The proposed CEP would be provincial-led and provincial pilot initiative. However, it is expected that experiences and lessons learnt from the project’s implementation including the draft SEDP M&E Guidelines will be shared with other provinces and with national authorities as the contribution to the possible replication of the local SEDP M&E in a wider scale. It is noted that as currently the MPI is leading the way in designing national guidelines for monitoring of the SEDP
(which are meant to provide a broad set of guiding principles for local adaptation as appropriate), the proposed CEP’s support to design, develop capacity for piloting local SEDP monitoring is a timely as it may well serve as a template for more general replication in other provinces.

While the framework/guidelines developed under the proposed CEP will cover the entire province, the actual piloting of the monitoring and capacity development interventions may only be done in one or two districts in Thua Thien Hue province.

The CEP consists of two key components:

A. Capacity development for institutional capacity assessment, design and adaptation of the local SEDP Monitoring Guidelines and,

B. Piloting the guidelines; feeding lessons learnt into the refining these designed guidelines

These two components will be implemented through an activity framework that is depicted below.

V. Management Arrangements

After the project document has been signed, Thua Thien Hue PPC will establish a Project Steering Committee and Project Management Unit, specifically:

- **Steering Committee**: a PPC leader, representatives from DPI, DOF, PSO and PPC Office.
- **Project Management Unit**: a DPI senior official as Project Director, part-time staff from PPC Office, DPI, DOF, PSO; contracted staff.
- **Collaborating Agencies**: Provincial People’s Committee, Provincial People’s Council, DPI, Provincial Statistics Office, DOF, related organisations/agencies at provincial, district and commune levels; social/mass organisations, local research and training institutions.
VI Coordination Mechanism

1. Coordination between Stakeholders

In order to ensure national ownership the project implementation will be (i) managed by the TTH People’s Committee (in particular by the Department of Planning and Investment), (ii) involving active participation of other stakeholders such as the local People’s Councils, mass and civil organizations, local statistical offices and other local government agencies and people in its capacity strengthening and technical assistance activities, and more importantly, in the process of drafting and piloting the M&E guidelines to ensure that the local SEPD M&E system would be development result-based, participatory and gender sensitive. UNDP and SNV will be providing technical assistance, quality assurance and support to ensure that the implementation of the engagement plan will be effective and fully coordinated with other relevant efforts such as under UNDP-SNV AA1, SLGP, National SEDP M&E at national level and in other locations in Viet Nam. Following management practice of UNDP-supported projects, UNDP, SNV and representatives TTH People’s Committee will conduct annual project review meetings to review the progress, discuss the strategic and major operational issues over the past year and to approve the next annual work plans.

2. Management Mechanism

The project will be managed under the NEX (national execution) modality, as such the TTH PPC will be the implementing partner whilst UNDP and SNV play roles of donor, monitoring and technical assistance.

The TTH DPI will be assigned by the PPC to take the overall responsibility of managing the project. A Project Management Unit will be set up (see Part V).

During the whole project life-time, UNDP will collaborate with SNV in providing the project with necessary consultancy services, as well as in monitoring its implementation. This includes project work-planning and budgeting, recruitment of national/international experts for technical assistance/training, provision of technical advice etc. UNDP will collaborate with SNV and local partners in project monitoring and reviewing.

3. Monitoring and Evaluation Arrangements:

The PMU, together with support of UNDP and SNV, and consultants will develop a simple system for project M&E. The PMU will also be responsible for preparation and submission of regular financial and progress reports, as well as the project completion report with the technical support of UNDP and SNV.

Annual project review will be organized for all involved parties to discuss on project annual workplan and progress, identify the areas for improvements in the implementation of the project and approve the next year annual work plan. A final project technical review will be organised in December 2008 to draw lessons learned from the project and to make recommendations on future support to the SEDP M&E at local levels.

VI. Other issues of concern

1. Focus on gender and social inclusion interests and issues

Key issue on achieving the MDGs in Vietnam is the empowerment of the ethnic minorities and women. Gender and social inclusion dimensions are key in the proposed support to local SEDP M&E, ranging from defining gender equity related indicators for monitoring the progress of implementing SEDPs/achieving gender targets, assessing the availability and quality of sex-disaggregated data, capacity for collecting and analysing the data, analyzing the gender and social inclusion aspects of SEDP implementation/ progress toward gender equity targets, to mainstreaming gender and ethnic minorities issues into SEDP M&E guidelines and piloting. The participation of women and women unions in the process of implementing CEP and of drafting/piloting local SEDP monitoring guidelines will be promoted, and the UNDP’s guidelines for achieving the rate of at least 30% female participants in the UNDP-supported project’s
training/capacity building activities will be implemented. The expertise of Viet Nam’s National Committee for Advancement of Women and its Guidelines for “mainstreaming gender into national policies and plans” will be mobilised/utilized in the implementation of the proposed CEP.

The proposed CEP will give priority to the ethnic minority communities (A Luoi district) during the piloting of the guidelines so that ethnic minorities’ issues are well integrated in the M&E guidelines.

2. Risk Assessment

There are a number of risk factors bearing on the realization of the engagement plan that should be made explicit. Many of these risks stem from the nature of the engagement with its emphasis on monitoring and evaluation and related coordination/involvement of multiple actors at national and sub-national levels. Table below notes the risks, assesses their likelihood of occurrence and discusses issues and options.

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<th>Risk</th>
<th>Likelihood</th>
<th>Issues &amp; Options</th>
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| 1. Reluctance of TTH Province in adopting the SEDP M&E | Medium | The risk is due to the traditionally low level of awareness on and thus demand for result-based SED planning and related M&E. Evidence and result-based planning and monitoring are still new for many in Viet Nam, and there could be hesitation to adapt these in a short time. On-going or proposed initiatives to address this risk include:  
- MPI is developing a guidelines for SEDP M&E that call for provinces to develop their own SEDP M&E framework and guidelines.  
- Constant advocacy on grassroots democracy decree, transparency and accountability and involvement of people councils and mass organizations in the work aiming at raising awareness and demand for result based SEDP M&E. |
| 2. Insufficient local Gov’s commitments and financial resources for supporting institutional changes and piloting M&E framework/guidelines | Medium-High | As with risk #1, the success is contingent on the strong commitments of local government at different levels in TTH province for establishing SEDP M&E system and related institutional changes and financial resources needed for operationalising the M&E guidelines/system. The risk of insufficient commitment is higher in this case because the ‘benefits’ to planners and policy makers in the province are less direct and there may be a perception of diminishing influence of the central level in terms of enforcing the SEDP M&E and data collection at lower levels. Some of the factors which may allay this concern include:  
- MPI SEDP M&E framework and guidelines may affirm Provincial responsibility for SEDP M&E;  
- The involvement of local people councils may contribute to increasing the demand for result and evidence based SEDP M&E;  
- Incentives for participation including training.  
- The support will help the provincial own efforts to minimize the duplication/creation of work burden.  
- The pilot taking place in one-two districts and communes with greatest commitment. |
| 3. Lack of coordination among Gov’s agencies within TTH and between TTH and national levels, low level of communication b/w data users and producers. | Medium | A number of project activities require improved coordination among different gov. agencies for success. In particular this applies to reaching consensus on SEDP M&E indicators/framework and the institutional capacity strengthening measures to be undertaken. On-going or proposed initiatives to address this risk include:  
- The adoption of ‘national ownership’ and DPI as the lead will ensure that the support would be provided under the province’s own legal/institutional and coordination framework and framework of developing and implementing province’s own SEDPs.  
- Hiring project support staff with tasks on support DPI in coordination of stakeholders.  
- Support development of mechanisms for cooperation/coordination and dialogues between data producers & data users. |
| 4 | Difficulties in identifying suitable staff for trainings and good Local Capacity Building organizations/consultants | Low - Medium | As various inputs will be in the forms of training and consultancy services, while the topics of result-based planning and monitoring are still new in Viet Nam, it may be difficult to mobilize suitable LCB/national consultants. Furthermore, the capacity strengthening activities may also add to the workload of the staff of TTH government agencies and thus could be difficult to define suitable staff for training/taking part in the activities. Some factors/initiatives to mitigate the risk are as follows:
- The capacity/training need assessment will take these into the account to recommend best options.
- Support on institutional arrangements should be able to initiate defining clear roles and responsibilities of staff and thus creating demand for and easing the work of identifying suitable staff for training/involving in the activities.
- Work closely with other projects such as SLGP, SNV and SEDP M&E at the central levels in order to tap on their roster of national capacity builders, while SNV Advisors would work with the local capacity builders to ensure the quality of their outputs. |
| 5 | Limited actual data collection compliance with the data requirements for monitoring the progress of TTH’s SEDP implementation and related limited actual use of data for SEDP reporting/evaluation. | Medium | Budget constraints and/or traditional data collection practices might limit the actual data collection’s compliance with the data requirements for monitoring the progress of TTH’s SEDP implementation. On-going or proposed initiatives to address this risk include;
- MPI SEDP M&E framework and guidelines are being approved, and thus will serve as a legal basis for budget allocation/ enforcing compliance of the data collection at lower levels.
- Increasing advocacy, demand and thus the incentives for result-based and evidence-based planning and monitoring. |
Signatures

In Witness whereof, the undersigned representing the respective parties have signed this Project Agreement as a Joint UN and Government of Vietnam Project.

On behalf of the Government of Vietnam:

Signature __________________

Name

Title Thua Thien Hue Provincial People’s Committee

Date October, 2007

On behalf of UNDP

Signature __________________

Name Setsuko Yamazaki

Title Country Director

UNDP Viet Nam

Date October, 2007

On behalf of SNV

Signature __________________

Name Pieter de Baan

Title Country Director

SNV Viet Nam

Date October, 2007
### VIII. Results and Resources Framework

<table>
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<tr>
<th>Expected Outputs</th>
<th>Output Targets (for 2 years)</th>
<th>Indicative Activities</th>
<th>Inputs</th>
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<tr>
<td>1. Capacity at sub-national levels in Thua Thien Hue Province strengthened for the development, piloting and adaptation of a suitable system for development result-based, participatory and gender sensitive monitoring annual and 5-year SEDP implementation</td>
<td>1.1. M&amp;E capacity strengthening needs assessed, M&amp;E data stock-taken, M&amp;E indicators and baselines developed/set (2007) 1.2 Roles of different organizations clarified and institutional capacity assessed (2007) 1.3. Preliminary M&amp;E framework/guidelines developed and draft approved by the PPC (2007) 1.4. Piloting, field testing, validating M&amp;E framework/guidelines (2007-2008) 1.5. M&amp;E framework/guidelines finalised (2008) 1.6. Lessons learned and results of pilot gathered, analysed and shared for replication (2008)</td>
<td>1.1.1 Support local policy makers, planners and elected bodies in defining what needs to be monitored/indicators to set for monitoring SEDP progress (especially progress in the areas of governance, gender equity and ethnic minority development, and budget monitoring) including defining users’ requirements for data frequencies, disaggregation and quality. 1.1.2 Support data producers in stock-taking data in terms of availability, consistency, sources, disaggregation, frequencies, quality, etc. including establishment of baselines based on available data and development of a plan to collect missing baseline data. 1.1.3. Conduct a capacity/capacity strengthening needs assessment at ‘environment’, institutional and individual levels define existing capacities and capacity gaps in (i) development result based planning and monitoring, (ii) data collection and (iii) data analyses/use for result-based SEDP monitoring. 1.1.4 Support preparation of analytical report(s) on (i) TTH’s progress toward achieving VDGs/MDGs and (ii) SEDP M&amp;E situation/capacity analysis based on the results of the above-mentioned activities. 1.2. Assess the institutional environment and clarify different stakeholder organizations’ roles in SEDP M&amp;E including the Vietnamese CSOs. 1.3. Technical assistance to the TTH’s Task Force in developing the preliminary M&amp;E framework/guidelines and conducting consultations with wide range stakeholders on the drafts. 1.4.1. Support and facilitate dialogues and discussions among data users and data producers as to develop a plan for capacity strengthening (including institutional arrangements) for piloting/testing and validating the SEDP M&amp;E framework/guidelines. 1.4.2. Develop training programme and provide training to selected policy makers, personnel of planning departments, members of People’s Councils and civil/mass organizations on various topics of result-based planning, result and evidence-based M&amp;E, indicator development, statistical literacy, and M&amp;E report writing. 1.4.3. Develop training program/materials and provide training to selected data producers on data collection, storage and dissemination, advanced skills on data analysis and use for SEDP monitoring. 1.4.4. Provide technical assistance to development of institutional arrangements for SEDP M&amp;E at local levels in TTH, this may include establishment of M&amp;E units within local planning departments and mechanisms for dialogues between data users and data producers to ensure effective data collection, dissemination and use for SEDP M&amp;E. 1.4.5 Provide hands-on technical assistance needed to conduct the piloting/testing and validating the M&amp;E framework/guidelines at provincial level, in one/two districts/communes, including collecting and analyzing the feedbacks/lessons learned from the pilots. 1.4.6 Contract local CSO to work as facilitators of activities at commune and district levels. 1.5. Based on the feedback and lessons learned, support to finalising and consultations on the final M&amp;E framework/guidelines. 1.6.1. Support dissemination and discussions on lessons learned and results of pilot for replication in other locations in TTH as well as in other provinces, especially among the provinces with on-going UNDP and SNV support on relevant topics. 1.6.2. Support mutual learning process and exchange across SLGP and SNV provinces.</td>
<td>The inputs will consist of technical international and national consultancy services (both individuals &amp; sub-contractors/local capacity builders); services of trainers/training institutions and facilitators; operational support to consultations, trainings, workshops/ seminars/ dialogues, etc. 1.7. Management support costs (independent M&amp;E, reviews, auditing, project support staff, project operation support etc.)</td>
</tr>
</tbody>
</table>

Note: since CEP is a small and short-term project, it is likely that the project will have direct impact on improving SEDP M&E practices in Thua Thien Hue, and indirect impact on poverty reduction there.
### Annex 1 - Revised Projected Budget Breakdown (by main activities)

<table>
<thead>
<tr>
<th>Output targets</th>
<th>Main activity</th>
<th>Specific activity</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 M&amp;E capacity strengthening needs assessed, M&amp;E data stock-taken, M&amp;E indicators and baselines developed/set</td>
<td>1.1.1 Support policy makers, planners and elected bodies</td>
<td>Sub-contract (national institution), seminar, consultancy</td>
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<td></td>
<td>1.1.2 Support data producers</td>
<td>Sub-contract (national institution), seminar, consultancy</td>
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<tr>
<td></td>
<td>1.1.3 Conduct a capacity/needs assessment</td>
<td>Consultants (national and local), workshops</td>
<td></td>
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<tr>
<td></td>
<td>1.1.4 Support preparation of analytical report(s)</td>
<td>Sub-contract (local university), consultation, seminar</td>
<td></td>
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<tr>
<td>1.2 Roles of different organizations clarified and institutional capacity assessed.</td>
<td>1.2 Assess the institutional environment and clarify different stakeholder organizations’ roles</td>
<td>Consultants (national and local), consultation, workshops (province and district)</td>
<td>Sub-total</td>
</tr>
<tr>
<td>1.3. Preliminary M&amp;E framework/guidelines developed and draft approved by the PPC</td>
<td>1.3 Technical assistance to the TTH’s Task Force</td>
<td>Consultants (1 international, 2 national, 3-4 local), consultation</td>
<td>Sub-total</td>
</tr>
<tr>
<td></td>
<td>1.4.1 Support and facilitate dialogues and discussions among data users and data producers</td>
<td>Contracting consultants (national and local), consultation, workshops (province and district)</td>
<td>Sub-total</td>
</tr>
<tr>
<td></td>
<td>1.4.2 Develop training programme and provide training to selected policy makers, personnel of planning departments, members of people councils and civil/mass organizations on SEDP M&amp;E</td>
<td>Contracting consultants (national and local), training workshops (province and district)</td>
<td></td>
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<tr>
<td></td>
<td>1.4.3 Develop training program/materials and provide training to selected data producers</td>
<td>Contracting consultants (national and local), training workshops (province and district)</td>
<td></td>
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<tr>
<td></td>
<td>1.4.4. Provide technical assistance to development of institutional arrangements for SEDP M&amp;E at local levels in TTH</td>
<td>Contracting consultants (national and local), training workshops (province and district)</td>
<td></td>
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<tr>
<td></td>
<td>1.4.5 Provide hands-on technical assistance needed to conduct the piloting/testing and validating the M&amp;E framework/guidelines</td>
<td>Sub-contract, consultation, monitoring, workshops</td>
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<td></td>
<td>1.4.6 Contract local CSO to work as facilitators of activities at commune and district levels</td>
<td>Sub-contract</td>
<td></td>
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<tr>
<td></td>
<td>1.5. M&amp;E framework/guidelines finalized (2008)</td>
<td>Consultation (provincial, district and commune)</td>
<td>Sub-total</td>
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<tr>
<td></td>
<td>1.5.5 Support to finalizing and consultations on the final M&amp;E framework/guidelines.</td>
<td>Consultants (national and local)</td>
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<td></td>
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<td>Provincial workshop</td>
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<tr>
<td>1.6. Lessons learned and results of pilot gathered, analyzed and shared for replication (2008)</td>
<td>1.6.1 Support dissemination and discussions on lessons learned and results of pilot for replication</td>
<td>Sub-contract (for documentation), leaflets, workshops (1 national, 1 provincial)</td>
<td>Sub-total</td>
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<tr>
<td></td>
<td>1.6.2 Support mutual learning process and exchange across SLGP and SNV provinces</td>
<td>Domestic exchange visits (for other provinces), joint-workshops</td>
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<td>1.7 Project management and M&amp;E</td>
<td>Sub-total</td>
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<tr>
<td>Project support staff (2)</td>
<td>Sub-total</td>
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<tr>
<td>Management support (travel, communication, monitoring, operation support, auditing, reviews)</td>
<td>Sub-total</td>
<td></td>
<td></td>
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<tr>
<td>Independent M&amp;E</td>
<td>Sub-total</td>
<td></td>
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